

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

L9289.02148

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR  
10/089,118INTERNATIONAL APPLICATION NO.  
PCT/JP01/06517INTERNATIONAL FILING DATE  
July 30, 2001PRIORITY DATE CLAIMED  
July 31, 2000

## TITLE OF INVENTION

MULTI-CARRIER CDMA COMMUNICATIONS APPARATUS

## APPLICANT(S) FOR DO/EO/US

Keiichi KITAGAWA, Atsushi SUMASU and Osamu KATO

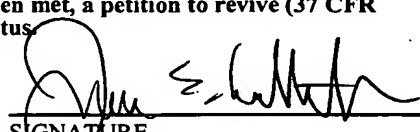
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☐ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Copy of Notification of Missing Requirements

| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 10/089,118)  |              | INTERNATIONAL APPLICATION NO. PCT/JP01/06517 |           | ATTORNEY'S DOCKET NUMBER L9289.02148 |    |
|---|--------------|--|-----------|--------------------------------------|----|
| 24. The following fees are submitted:<br><b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b><br><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1040.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$890.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$740.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$710.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00<br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> |              |  |           | <b>CALCULATIONS PTO USE ONLY</b>     |    |
|   |              |  |           | \$0.00                               |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30  |              |  |           | \$0.00                               |    |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA                                 | RATE      |                                      |    |
| Total claims  | - 20 =       | 0  | x \$18.00 | \$0.00                               |    |
| Independent claims  | - 3 =        | 0  | x \$84.00 | \$0.00                               |    |
| Multiple Dependent Claims (check if applicable). <input type="checkbox"/>   |              |  |           | \$0.00                               |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |  |           | \$0.00                               |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.   |              |  |           | \$0.00                               |    |
| <b>SUBTOTAL =</b>   |              |  |           | \$0.00                               |    |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 +  |              |  |           | \$130.00                             |    |
| <b>TOTAL NATIONAL FEE =</b>   |              |  |           | \$130.00                             |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>   |              |  |           | \$40.00                              |    |
| <b>TOTAL FEES ENCLOSED =</b>  |              |  |           | \$170.00                             |    |
| 2002 MKAYPAGH 00000010 10089118   |              |  |           | Amount to be: refunded               | \$ |
| 154 130.00 NP   |              |  |           | charged                              | \$ |
| a. <input checked="" type="checkbox"/> A check in the amount of \$170.00 to cover the above fees is enclosed.<br>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 170.00 A duplicate copy of this sheet is enclosed.<br>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.  |              |  |           |                                      |    |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.  |              |  |           |                                      |    |
| <b>SEND ALL CORRESPONDENCE TO:</b>  |              |  |           |                                      |    |
| <div>James E. Ledbetter, Esq.<br/>Registration 28,732<br/>STEVENS, DAVIS, MILLER &amp; MOSHER, LLP<br/>1615 L Street, N.W., Suite 850<br/>Washington, DC 20036<br/>Tel: 202-785-0100<br/>Fax: 202-408-5200</div> <div><br/>SIGNATURE<br/>James E. Ledbetter<br/>NAME<br/>28,732<br/>REGISTRATION NUMBER<br/>June 18, 2002<br/>DATE</div>  |              |  |           |                                      |    |

10 Rev 1/98 18 JUN 2002

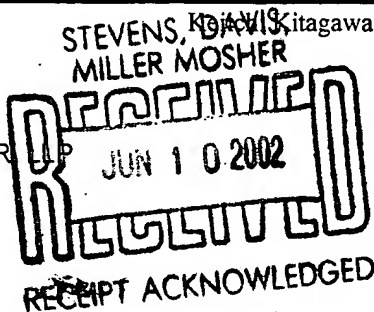


UNITED STATES PATENT AND TRADEMARK OFFICE

 Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

|                             |   |                  |
|-----------------------------|---|------------------|
| U.S. APPLICATION NUMBER NO. | FIRST NAMED APPLICANT                     | ATTY. DOCKET NO. |
| 10/089,118                  | STEVENS, DAVIS, MILLER MOSHER<br>Kitagawa | L9289.02148      |

24257

 STEVENS DAVIS MILLER & MOSHER LLP  
 1615 L STREET, NW  
 SUITE 850  
 WASHINGTON, DC 20036


|                               |               |
|-------------------------------|---------------|
| INTERNATIONAL APPLICATION NO. |               |
| PCT/JP01/06517                |               |
| I.A. FILING DATE              | PRIORITY DATE |
| 07/30/2001                    | 07/31/2000    |

CONFIRMATION NO. 9064

371 FORMALITIES LETTER



\*OC000000008159567\*

Date Mailed: 05/30/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Request for Immediate Examination

 RESPONSE DUE 7/30/02  
 DOCKETED DATE 6/11/02  
 BY 29.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 20 months months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHRISTINE S WASHINGTON

Telephone: (703) 305-3752

PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/089,118                  | PCT/JP01/06517                | L9289.02148      |

FORM.PCT/DO/EO/905 (371 Formalities Notice)

# INSTRUCTIONS FOR COMPLETION OF THIS FORM

line 1 Insert the same title as is used on the specification and in the assignment.

line 2 Is optional but is provided so that you can use it to identify more readily an application prior to the time that the Patent Office application serial number is assigned. We suggest that the specification, drawings and declaration always bear a file number since it can help to get the papers together in case they become inadvertently separated. In instances where the specification is filed without a signed declaration form (under 37 CFR §1.53) a file number on a later-received separate form will assist us in associating it with the correct case.

line 3 Check this box if the specification, claims and drawing (if any) are attached to this declaration form, e.g., when filing a new patent application.

lines 4-5 Are only used in an instance where the application is already on file and the declaration form is being separately filed, e.g., when the application was originally filed without a signed declaration or where the Patent Office has required a new declaration because of a deficiency in the original declaration. In such an instance the Patent Office will require that lines 4 and 5 be completed with the filing date and application serial number already assigned.

line 6 Is used in conjunction with line 5 but only when there have been one or more amendments to the specification or claims. Line 6 is also used when the Examiner requires a new declaration because claims inserted by amendment cover subject matter not originally claimed (37 CFR §1.67).

lines 7-11 Are for PCT (Patent Cooperation Treaty) cases and are used only when you are entering the U.S. National phase (Chapter I or II) based upon a previously filed PCT International application designating the U.S.

line 7 Check this box if this is a PCT National Phase application.

line 8 Insert PCT International application number.

line 9 Insert date of filing of PCT International application.

lines 10-11 Insert the date of all amendments filed in the PCT International application. Such amendments are optional, so this line at times will not be used.

line 12a Is used in the following instances:

- (i) If a single priority is being claimed from a foreign application you need to list only the first-filed application; you do not need to list other countries if all applications were filed within one year of the U.S. filing.
- (ii) If multiple priorities are being claimed, from a plurality of applications filed in one or more countries, you must list the first filed application for each aspect of the invention. Example: if aspect A of the invention was disclosed in an application filed 11 months earlier in country X and aspect B was disclosed 9 months earlier in an application filed in country Y, then the applications in both countries X and Y must be identified. Only the first application for each aspect of the invention needs to be identified provided all applications on that aspect were filed within one year prior to the U.S. filing.
- (iii) If a non-priority application is being filed you must list all applications in all countries where corresponding foreign applications were filed more than one year prior to the U.S. filing. This is so the Examiner can check to see if any of those applications were published or patented early enough to be prior art against the U.S. application.
- (iv) If there are more than two applications to be listed we suggest that you type in on this form only "See attached Schedule A" and then list all of the previous applications on an attached sheet.

line 12b Is used to claim priority under 35 USC §119(e) based on a provisional application filed within one year of the filing of the instant application. More than one provisional application may be identified provided neither was filed more than one year earlier.

line 13 This block is used only in instances where there is a previously filed U.S. non-provisional application which was copending at the time the present application was (or is being) filed. That previous application could be a U.S. non-provisional application or the National Phase of a PCT allocation. In such a case the present application may be entitled to the priority of the previous application's U.S. filing date (and consequently the foreign priority thereof) provided the present application is identified as a continuing application (continuation, divisional or continuation-in-part) of the earlier (parent) application. If the foregoing is applicable, please fill in one line for each such prior application.

line 14 Type the inventor's proper legal name in the order specified, e.g., "John B. JONES" or "J. Bob JONES" if the inventor so prefers. It is not acceptable to use only initials such as "J. B. JONES."

line 15 The inventor's "signature" may be his (or her) usual manner of signing but it is preferable that the inventor simply write his (or her) name in his (or her) own cursive handwriting in the same order as on line 14, e.g., given name, middle initial and Family name.

line 16 Insert the actual date of signature.

line 17 Insert simply the city and state or country, e.g., "Paris, France", of the inventor's residence, not citizenship. No street address or postal code is required on this line.

line 18 Insert the inventor's citizenship. The statement of citizenship (or subject of) is a statutory requirement (35 USC §115). Simply the name of the country of citizenship, e.g., "Japan" is sufficient.

line 19 Insert the inventor's mailing address. The purpose of requiring the post office address is to enable the Patent Office to communicate directly with the inventor if desired, such as in the case of death of the U.S. attorney. It should be the address where the inventor customarily receives his (or her) mail and should include the postal code. If applicable it can be the inventor's business address or address at place of employment.

Applicants are reminded that the U.S. Patent and Trademark Office has very strict requirements as to proper execution of an application. The applicant should make sure that he reviews the declaration, prior to signing to make sure the declaration properly identifies the application and all relevant information; and should review the specification and claims (including drawings, if any) before signing the declaration. Failure to do so will require the filing of a supplemental declaration --- 37 CFR §1.67(c).

Any handwritten changes to the specification, claims or drawings must be in ink personally by all of the inventors prior to signing the declaration and the adjacent left margin must be initialed and dated by all of the inventors, e.g., "JBJ 6-9-91".

Please let us know if there are any questions regarding proper completion of this form. Thank you.

An assignment, a separate document requiring separate signature and dating may be enclosed. Please look for it and sign and date it in the same manner as in lines 15 and 16 above.